

5.0

FACULTY DEFINITIONS AND POLICIES

5.0 FACULTY POLICIES

PREAMBLE

Clarkson seeks a distinguished faculty that excels in both scholarship and teaching. The policies described below are designed to ensure that decisions regarding recruitment, reappointment, tenure, and promotion of faculty members proceed in a manner that will further the development of such teacher-scholars and promote the objectives of the University.

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5.1 TITLES, STATUS AND DEFINITIONS

- A. Faculty shall hold one of the five recognized academic ranks: instructor, lecturer, assistant professor, associate professor, or professor. The ranks of assistant professor, associate professor, and professor are tenurable ranks. The rank of instructor and lecturer are not tenurable: The rank of lecturer may be assigned to persons in anticipation of their promotion to the tenurable rank of assistant professor, usually within a year after initial appointment (see 5.6.A). The rank of instructor may be assigned to persons without anticipating their subsequent promotion to tenurable rank. A search to fill a position held by an instructor must be conducted no less frequently than every three years. Although the professional staff in Aerospace Studies, Military Science, Physical Education, the Library, and Office of Information Technology may carry faculty titles, they are not tenurable, and their positions are not governed by these Faculty Policies as specified in Section 5.0 and its Sub-Sections 5.1 through 5.9.
- B. The prefix of "Adjunct" to a faculty rank shall be restricted to those whose commitment outside the University takes precedence over their commitment to the University. Adjunct faculty are not tenurable.
- C. The prefix of "Visiting" to a faculty rank shall be restricted to true visitors, e.g., temporary appointments and visits by distinguished faculty. For a temporary appointment to be continued beyond one year, approval of the president is required. Visiting faculty are not tenurable.
- D. The prefix of "Clinical" to a faculty rank shall be restricted to those faculty whose professional activities involve patient care and/or instruction of professional students in patient care situations and who do not have the required research responsibilities of tenure-track faculty members. No more than 50% of the full-time equivalent faculty positions in Physical Therapy should be Clinical faculty rank. Except in unusual circumstances as approved by the President, transfers from the tenure track faculty ranks to clinical faculty ranks are prohibited. Clinical faculty are not tenurable.
- E. The prefix of "Research" to a faculty rank shall be restricted to positions funded predominantly through external sources, such as research grants. Research appointees are not tenurable.

- F. The title “Clarkson Distinguished Professor” shall be applied to tenured professors who have exhibited characteristics that clearly exceed the requirements for promotion to professor as defined in the Operations Manual. Candidates will be identified within operational units, reviewed and recommended by a procedure substantially the same as that followed for promotion, including review by the promotion committee, with final approval by the President.

- G. The administration, at its discretion, may continue individuals in the ranks they hold at the time this policy is adopted, even if their titles do not conform to the definitions described above. Likewise, the president may approve courtesy appointments that carry faculty titles when such appointments further the mission of the University. However, absent special circumstances it is the case that all future appointments to faculty ranks and titles should conform to the above definitions.

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5.2 DUTIES OF A FACULTY MEMBER

The duties of a tenurable faculty member are:

A. TEACHING

1. thoroughly preparing for and instructing scheduled classes,
2. preparing, proctoring, and grading tests, examinations and papers,
3. preparing and distributing course outlines in accord with *Regulations*,
4. reporting grades to the registrar and department chair by announced deadlines,
5. holding conferences with students in general, and specifically with students and advisees during posted office hours.

B. SCHOLARSHIP

1. pursuing scholarly activities and presenting the results thereof,
2. affiliating with and participating in professional societies.

C. SERVICE AND ADMINISTRATION

1. serving as advisor to student extracurricular activities as appropriate,
2. advising students assigned by the department chair on academic matters,
3. maintaining familiarity with University *Regulations*,
4. serving on faculty committees as appropriate,
5. attending departmental and general faculty meetings as well as such University functions as convocations and commencements.

D. OTHER

1. providing such other temporary professional services as are deemed appropriate by the deans and department chairs (e.g., covering a class for an ill colleague on an emergency basis),
2. attending to those duties that are implied by this *Operations Manual* to pertain to the position of faculty member (e.g., attending the annual evaluation conference).

The duties of faculty members who are not tenurable are drawn from those listed above in Sections 5.2.A through 5.2.D and are specified in their contracts.

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5.3 STANDARDS FOR FACULTY EVALUATIONS

Pursuant to the University's goal of maintaining a faculty of distinguished teacher-scholars, the evaluation of faculty members must proceed in accord with the following standards. In addition to these specific standards, each faculty member should strive to maintain quality teaching and scholarship so that both contribute to his or her professional development.

A. GENERAL STANDARDS

1. Each tenurable faculty member should possess the appropriate terminal degree for his or her field, ordinarily the doctorate, whenever that degree is the accepted norm for that person's profession.
2. Each faculty member should fulfill the duties of a faculty member [see 5.2].
3. Each tenurable faculty member should excel in teaching. The evaluation of teaching may include such considerations as: the faculty member's mastery of the literature in the relevant discipline, organization of course materials, development of innovative teaching techniques, presentation of new laboratory experiments, academic advising, evaluation by students and alumni, and assessment by professional colleagues. Other activities relevant to teaching may also be considered, including advising that has an instructional dimension (for example, thesis advising in the Honors Program, advising design and project teams, and direction of graduate theses and projects).
4. Each tenurable faculty member should excel in disciplinary and/or interdisciplinary scholarship. Scholarship is a multifaceted endeavor, embracing discovery of new ideas, integration of knowledge from diverse areas, application of knowledge in new ways, and advancement of pedagogy. Evaluation of scholarship ordinarily considers the quality and number of publications (especially in refereed journals) and scholarly books, the significance of the work, authorship of textbooks and pedagogical materials (including instructional software), and success in gaining external support in the form of research and/or curriculum development grants and contracts.

Evaluation of scholarship will also consider, among other things, professional recognition in the form of awards received, patents granted,

citations indexed, lecture invitations received, and conference papers presented. Additional evidence of scholarly accomplishment may be found in election to special status in professional societies, peer reviews, and invitations to visiting professorships. Other forms of professional activity, such as readings from and presentations of creative work shall be assessed.

5. Each tenurable faculty member should strive to maintain continual interaction between teaching and scholarship, so that each contributes to his or her professional development and to the mission of the University. While all tenurable faculty members should strive to excel in both teaching and scholarship, each individual may achieve a different balance of excellence.
6. Each faculty member should engage in University and professional service. While teaching and scholarship are of prime importance, service, such as committee work for the department, school and University along with service to student activities, will be a factor in faculty evaluation. Also to be evaluated are activities in service to the profession, such as appointment or election to editorships, work in government panels, editorial reviews of books or manuscripts for scholarly journals, etc.

B. STANDARDS BY ACADEMIC RANK

1. The instructor should display:
 - a. demonstrated ability to perform his or her assigned duties, and
 - b. education and/or experience that is appropriate for his or her assigned duties.
2. The lecturer should display:
 - a. promise of scholarship,
 - b. evident ability as a teacher, and
 - c. education and/or experience that is appropriate for his or her assigned duties.
3. The assistant professor should display:
 - a. an active commitment to and promise of scholarship
 - b. evident ability as a teacher, and
 - c. an interest in University and professional service.

4. The associate professor should have demonstrated:
 - a. serious scholarly achievement,
 - b. consistent and substantial accomplishment as a teacher
 - c. potential for continuing growth as both a teacher and scholar, and
 - d. service to the University and the profession.

5. The professor should have:
 - a. made significant scholarly contributions such that the professor is recognized to be an authority in the relevant discipline and/or interdisciplinary area by experts in the field,
 - b. shown high accomplishment as a teacher,
 - c. contributed substantially, through service, to the University and profession, and
 - d. demonstrated an on-going commitment to excellence in both teaching and scholarship.

6. The distinguished professor should have:
 - a. exhibited characteristics that clearly exceed the requirements for promotion to professor.

C. BALANCING THE STANDARDS

Every effort should be made to attract and retain individuals further and enhance the stature of the University and the quality of its programs. Hence, excellence in both teaching and scholarship is of primary importance along with sustained contributions to the individual's profession at the national or international level. However, the weights accorded teaching, scholarship, and service may differ from department to department so long as they meet the spirit of these guidelines. Specifically, the balancing of evaluative standards should not result in gross disparities in expectations and performance or inequities of treatment among the University faculty.

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5.4 PROCEDURES AND DOCUMENTATION FOR THE APPOINTMENT, REAPPOINTMENT AND CONTINUING EVALUATION OF FACULTY

A. EVALUATIVE DOCUMENTATION AND ITS AVAILABILITY

Access to the various files that contain documentary evidence pertaining to individual faculty members is governed by the following guidelines:

1. Personnel Files

- a. The Human Resources Office, department offices, and the deans' offices maintain personnel files appropriate to their administrative functions. The information in the personnel file is available to the individual faculty member, the appropriate dean and department chair, and the president. It is also available to such internal groups as the University Tenure Committee, the University Promotions Committee, and the Office of Institutional Planning when their duties require such access. (Salary information will be removed from documents included in tenure and promotion files.) Others may see selected contents of personnel files on a need-to-know basis as determined by the Director of Human Resources.
- b. Information in the personnel file is available as required by law to governmental agencies and to accrediting organizations in accordance with accepted professional practices.
- c. Other groups or individuals, be they internal or external, who request information from a personnel file, will be referred to the individual faculty member.
- d. Salary information is available only to the faculty member, to appropriate administrative officers, and to those authorized by the same.

2. Tenure Files and Promotion Files

- a. Tenure files, promotion files, and any other personnel files which include professional evaluation material of a confidential nature from external or internal sources, are available only to appropriate administrative officers (i.e., the file preparer, dean, academic vice president, president and trustees) to the University Tenure or the University Promotions Committees (as appropriate), and to any advisory or special review committees assembled by the chair, dean, or president.

When a tenure or promotion review has been completed and the relevant tenure or promotion file has been secured by the president, all other copies of the professional evaluation materials of a confidential nature, specifically, the individual depositions from both external and internal sources, must be either forwarded to the president or destroyed.

3. University Counsel Access

- a. The University's legal counsel may have access to any materials in the personnel, tenure or promotion files when such access is deemed by the president to be necessary for the purpose of representing the University.

B. INITIAL APPOINTMENT PROCEDURES

1. Search Procedures

- a. The initiative for the recruitment of faculty is primarily the responsibility of the department chair or dean.
- b. Searches for faculty in tenurable rank should be at least national in scope, and should be conducted in a fashion that attracts candidates who meet the standards described in 5.3.
- c. Recruitment and hiring should conform to the University's Equal Employment Opportunity and Affirmative Action policies, as well as to such other procedures as the administration may from time to time implement.
- d. A candidate for a faculty position should normally spend at least a full day on campus and lecture at a departmental seminar. The candidate should be interviewed by as many departmental faculty members as practicable, director of research and by members of the academic administration, and, if possible, a representative of the Human Resources Office.
- e. Before recommending a candidate for appointment, the person directing the search should consult broadly with appropriate faculty for their assessment of the candidate. When possible, these assessments should be submitted in writing. The resulting recommendation prepared by the person conducting the search should reflect both internal as well as external assessments of the candidate.

2. Appointment Procedures and the Initial Appointment Letter

- a. The decision to appoint is made by the president or, if so stipulated, the academic vice president. This decision should rely substantially on the recommendation received from the person conducting the search.
- b. After a decision to appoint has been made, the chair (or other appropriate academic administrator) shall prepare and seek approval for all those documents required by the appointment implementation procedures that shall from time to time be established by the president. Necessary documents must include an initial appointment letter, and may include such other items as an Affirmative Action Report, a US government visa/citizenship status form (I-9), and a payroll authorization form.
- c. An offer of employment is not valid until the president or the academic vice president has approved the initial appointment letter and signed the payroll authorization form.
- d. Those preparing and approving the initial appointment letter must ensure that its provisions conform to the requirements of these “faculty policies.” Any agreement involving special responsibilities which may bear on reappointment, promotion, or tenure review must be stated in writing in the initial appointment letter. The initial appointment letter must also include a statement regarding the appointee’s tenure status, specifically, an indication of the last academic year during which a tenure review should be completed. Likewise, this appointment letter shall inform the prospective faculty member of any restrictions on the granting of tenure not appearing in these “faculty policies”. When conveyed to the appointee, the initial appointment letter should be accompanied by a copy of Section 5.0 of the *Operations Manual*: “Faculty Policies.”

C. CONTINUING EVALUATION PROCEDURES

1. Faculty evaluation is an on-going process. At least once a year each faculty member shall have an evaluation conference with the department chair or the person designated by the dean to perform this function. At this conference, the faculty member’s professional progress for the year in terms of teaching,

scholarship and service, and cumulative progress to date shall be reviewed. The evaluative standards employed will be those described in 5.3. Immediately following this review, the person who conducted it shall prepare a record of this discussion in memorandum form. This "annual evaluation memorandum" shall be initialed by the faculty member before being placed in the appropriate personnel file of the faculty member. The faculty member's initials merely indicate that the faculty member has seen the memorandum. If the faculty member refuses to initial the evaluation memorandum, the person conducting the annual evaluation conference must note that fact at the bottom of the memorandum before placing it in the faculty member's personnel file. Each faculty member may submit for inclusion in the personnel file a written response to the annual evaluation memorandum. This response shall be appended to the evaluation memorandum, and shall be treated as part of the latter.

2. One important datum for evaluation purposes is information about how students view the teaching of a faculty member. Every semester each student should be given the opportunity to make an anonymous evaluation of every class in which the student is enrolled. This evaluation should be collected in a systematic, quantitative and, as far as possible, uniform way, and a report of the results included in the faculty member's personnel file.
3. Another important evaluative measure is the assessment of teaching by a faculty member's colleagues. Classroom visits should be carried out on a regular basis for all faculty. Such visits are mandatory for untenured faculty. Arrangements for classroom visits will be coordinated by the chair, dean, or a delegated individual. Preferably tenured faculty members will be appointed as visitors in consultation with the faculty member. Visitors shall submit a written report to the chair, dean, or person responsible for conducting the annual evaluations. Before a written report of a classroom visit is included in a faculty member's personnel file, the faculty member should initial the report as evidence of having read it. If the faculty member refuses to initial the report of a classroom visit, the person conducting the annual evaluation should note that fact at the bottom of the report before placing it in the personnel file.
4. Parenthetically, it should be noted that while the results of the annual conferences, classroom visits, and student evaluations of instruction are crucial, they may not be decisive in such matters as tenure review and promotion. For example, the faculty member being considered for tenure is

not guaranteed tenure even with entirely favorable annual reviews during the pre-tenure period. Although the annual reviews play any important part in the tenure decision, they do not have a preemptive role.

D. REAPPOINTMENT PROCEDURES AND REAPPOINTMENT LETTERS

1. Reappointment decisions and salary changes should reflect the conclusions of the annual evaluation conferences and such other evidence as is available to the person responsible for reappointment decisions.
2. Reappointment letters must indicate the faculty member's status with respect to tenure. In the case of non-tenured faculty, reappointment letters should indicate the last academic year during which a tenure review must be completed.

E. NON-REAPPOINTMENT PROCEDURES FOR NON-TENURED FACULTY IN TENURABLE RANK

Notice of non-reappointment must be given to non-tenured faculty in tenurable rank (i.e., untenured assistant professors, associate professors, and professors) in writing in accordance with the following schedule, except when a faculty member is dismissed for cause:

1. Not later than March 1 of the first academic year of service if the appointment expires at the end of that year, or, if a one-year appointment terminates during the academic year, at least three months in advance of its termination.
2. Not later than December 15 of the second academic year of service if the appointment expires at the end of that year, or, if an initial two year appointment terminates during the academic year, at least six months in advance of its termination.
3. At least twelve months before the expiration of an appointment after two or more years at Clarkson.

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5.5 EVALUATION PROCEDURES FOR TENURE-- "THE TENURE POLICY"

Tenure is a means to ensure academic freedom and a sufficient degree of employment continuity to make the profession attractive to persons of ability. The goal of "The Tenure Policy" is to establish review procedures that achieve these ends and further the interests of the University.

A. DEFINITIONS AND SPECIFICATIONS

1. "Tenure" is a term used to denote that holders thereof are assured that their services shall be continued with fair compensation unless they are terminated for adequate cause, except in cases of retirement, financial exigency of the University, or discontinuance of a department or degree-granting program.
2. The "tenure policy" is the policy regarding tenure described in this statement.
3. "Tenurable rank" refers to those academic ranks eligible for receipt of tenure, namely, to holders of full-time teaching appointments in the faculty ranks of assistant professor, associate professor, or professor. However, tenure in rank, once achieved, shall not be affected by subsequent appointments.
 - a. Tenure shall not apply to personnel in administration, educational resources, physical education, aerospace studies, military science, or research.
 - b. Tenure shall not apply to adjunct faculty ranks, to such professional designations as instructor, to research positions including that of research professor, to visiting professors, or to such other professional, non-tenure designations as may be authorized by the president.
4. The "University Tenure Committee" or the "Tenure Committee" consists of six tenured faculty members elected for staggered, three year terms by the tenurable rank faculty, both tenured and non-tenured. Faculty members in the positions of chair, dean or comparable administrative position are not eligible for membership on the Tenure Committee. At least two candidates for the Tenure Committee will be nominated for each position by the Senate. Nominations for candidacy can also be presented by written petition endorsed by fifteen tenurable rank faculty. Positions on the Tenure Committee will be allocated as follows: two from each of the schools of the University.

This formula for allocating positions on the University Tenure committee may be altered on the basis of a recommendation by the Faculty Senate and a vote of the tenurable-rank faculty.

The University Tenure Committee charge is:

- a. To act in accordance with the Tenure Policy as passed by the Faculty Senate and approved by the Board of Trustees.
 - i. To confirm that the tenure file (described below) of each individual reviewed contains adequate documentation to reflect properly the individual's performance as it pertains to the granting of tenure, or indicate as soon as possible to the person responsible for preparing the file how it is deficient. The preparer will immediately attempt to provide the materials necessary to remedy the deficiencies. The Tenure Committee may hold the tenure file until such documentation is provided. If the preparer is unable to supply the required materials, the Tenure Committee may correct any deficiencies, and will inform the tenure candidate that it has done so.
 - ii. To ensure that new information added to the tenure file is communicated to the preparer of the file who, in turn, must forward it through appropriate channels along with the preparer's revised recommendation, if any.
 - iii. To add to each tenure file a committee evaluation and tenure recommendation based solely on the contents of the tenure file and the evaluative standards outlined in 5.3.
 - b. To ensure that the Tenure Policy is fully and properly implemented in all tenure reviews.
 - c. To advise the Faculty Senate on the Tenure Policy and its implementation.
5. The term "year" refers to the academic year, unless otherwise noted.
 6. The "pre-tenure period" is the period of full-time service in a tenurable rank at Clarkson up to and including the year during which a tenure review is conducted.

- a. The minimum pre-tenure period shall be three years of full-time service exclusive of periods of leave of absence unless the president exercises the prerogative to permit earlier consideration for tenure. The individual being considered for tenure must consent to such an early review. The president should exercise this prerogative, or the prerogative to recommend that tenure be granted an individual on initial appointment only in exceptional circumstances and with the written advice of the University Tenure Committee. The president or designee may permit an initial appointment letter to include a promise or a requirement of a reduced (less than six year) pre-tenure period if the prospective faculty member has had prior experience as a faculty member at another institution. The tenure review process in a case of early tenure review shall, as far as possible, be the same as that used in other Clarkson tenure reviews.
- b. The maximum pre-tenure period shall be six years of full time service exclusive of periods of leave of absence. Hence, a tenure review must be conducted during the sixth year of pre-tenure service for any non-tenured faculty member who is not on terminal contract, with the following exceptions:
 - i. Persons who hold administrative positions of president, vice president, dean and who simultaneously hold faculty rank, shall not have the time during which they perform administrative service considered part of the pre-tenure period. Time served as associate dean or as a director may be excluded from the pre-tenure period by mutual consent of the individual and the president.
 - ii. If a tenure review is not conducted by the end of the sixth year of academic service, a full tenure review must be completed within one calendar year of the date on which this omission becomes known to the president. Under these circumstances, service at Clarkson may exceed a previously understood maximum pre-tenure period before tenure is either awarded or denied. In no event can tenure be obtained without a tenure review and an affirmative decision by the president.
 - iii. Tenure clock relief -- A non-tenured member of the faculty shall be eligible for an extension of the pre-tenure probationary period for life events, described below, that can reasonably be expected to delay the research process. For extensions in category 1, there will be no limit on the number of extensions. For extensions in categories 2-5, a maximum

of two separate extensions of the tenure probationary period will be granted. As described below, each extension can be for either one or two semesters. For purposes of review, a semester is defined as six (6) months in duration. Invoking an extension does not commit the person to wait the full extent of the probationary period before requesting tenure review. Life events that can be expected to markedly delay the research process are listed below.

1. A child is born or adopted into the faculty member's household (maximum two semester extension for the parent or adoptive parent).
2. By reason of a serious health condition (as defined in the Family and Medical Leave Act) persisting for a substantial portion of a semester, the faculty member is required to act as primary caregiver for a parent, child, spouse, or domestic partner as defined and recognized by Clarkson University (one semester extension).
3. By reason of a serious health condition (as defined in the Family and Medical Leave Act) persisting for a substantial portion of the period for which extension is sought, the faculty member is unable to perform the functions of her or his position (maximum two semester extension).
4. By reason of the death of a parent, child, spouse, or domestic partner as defined and recognized by Clarkson University (one semester extension).
5. By reason of a catastrophic residential property loss (one semester extension).

In the instance where the birth of a child results in a serious health condition for either the mother or the child (as in 2 or 3 above), the maximum extension will be two semesters.

Extensions of the tenure probationary period will also be granted for the following reasons and will not count toward the limit in the number of extensions specified above. However, it is expected that, in total, a three (3) year overall limit in extensions of the probationary period will not be exceeded. Extensions may be granted for the following reasons.

1. By reason of specialized experience or training approved by the department chair and dean, when during such experiences,

research publications and other tenure-related activities are expected to be reduced or interrupted.

2. By reason of significantly increased administrative duties that were unanticipated at the time of the tenure-track appointment (e.g., serving as a department chair or establishing a new, off-site program).
3. By reason of an approved period of part-time status (tenure clock extension would be pro-rated to the percentage of effort during the part-time period).

Requests for all extensions must be made in writing to the department chair and forwarded to the appropriate dean for final approval by the provost. Requests for extensions must be made within three (3) months of the onset of the life event or as soon as practicable once the situation has been identified.

7. The “Trustees” shall be the Trustees of the University, when they are in session, and when not in session, the executive committee of the Trustees.
8. The “faculty member under consideration” or the “candidate” denotes the faculty member being reviewed for tenure.
9. The “preparer of the file” is that person or group responsible for compiling the tenure file (described below) and for adding an initial evaluation and recommendation to it. Where administrative structure and circumstances permit, the preparer of the file will be the person responsible for conducting the annual evaluation conferences, normally the department chair. In those academic units not organized on departmental lines, the preparer will be that person or group designated as such by the president on the recommendation of the appropriate dean. Individual academic units may choose to have a committee of tenured faculty from within the unit serve as the “preparer of the file”: this choice must be approved by the president. When the “preparer of the file” is a committee of tenured faculty, each member of this committee of tenured faculty, other than its chair, must submit an internal deposition (see 5.5.B.3.b) prior to viewing any other confidential evaluations or depositions. In exceptional circumstances, including but not limited to the preparation of a tenure file for a prospective dean or department chair who is to be reviewed for tenure upon initial appointment, the president shall designate that person or group responsible for preparing the file and for adding to it an initial evaluation and recommendation. Members of the University Tenure Committee may not serve as “preparer of the file.”

10. The chair, dean, vice president, or president may appoint an “advisory committee” of tenured faculty members or academic administrators holding tenurable rank to assist in evaluating the tenure file. Members of such committees must submit any individual depositions to the preparer of the file prior to viewing confidential letters from internal evaluators or external referees. Members of the University Tenure Committee may not be appointed to any such “advisory committees.”

11. Prior to the president's decision, the tenure review proceeds strictly on the basis of the contents of the “tenure file.” All formal recommendations must be based on its contents alone and the evaluative standards described in 5.3. The formal review process begins when items 5.5A.11.a-1, have been compiled. When the tenure review is completed and a decision is reached, the tenure file must contain true copies or originals of at least the following items:
 - a. All appointment and reappointment letters (with salary figures concealed/erased).

 - b. The candidate's most recent resume or *curriculum vitae*, including education, experience, publications with titles, authors and pages, presentations of scholarly works, and where appropriate, a tabulation of citations of the candidate's publications by others, invention disclosures and patents, computer software, internal and external funding with sources, mounts and co- investigators theses directed, new courses created, professional services performed, awards and honors, and other relevant scholarly and professional activities.

 - c. All annual Faculty Activity Reports.

 - d. All annual faculty evaluation memoranda (heretofore in personnel file: see (5.4.C.1 and 5.4.A).

 - e. All student evaluation of instruction reports, including course numbers and titles (heretofore in the personnel file: see 5.4.C.2 and 5.4.A). Appropriate comparative data shall be included against which the course evaluations are assessed (such as mean rating for graduate courses, mean rating for introductory courses, etc.). The preparer of the file will also provide written comments interpreting the numerical teaching evaluation scores and assessing their significance.

- f. Classroom visit reports by colleagues (heretofore in the personnel file: see 5.4.C.3 and 5.4.A).
- g. Statement from the preparer regarding tenure flow in the candidate's department (or relevant organizational unit), indicating how the award or denial of tenure would affect teaching and research in the department. This statement must also indicate the number of tenurable rank faculty in the department, the number currently tenured, and a projection for the next three years taking into account anticipated departures and retirements, faculty scheduled for tenure review, and changes in the number of tenurable positions.
- h. Written evaluations from Clarkson faculty members together with copies of the memo soliciting these evaluations.
- i. Written evaluations by external referees together with copies of all letters soliciting these evaluations. These evaluations should be accompanied by a brief statement from the preparer sketching the professional background of each referee.
- j. Copies of all the scholarly publications of the candidate, along with an indication of which of these were available to external referees.
- k. Any materials or statements submitted by the candidate to the preparer, or included in the file in response to the candidate's request.
- l. A complete inventory of the file as compiled by the preparer. A copy of this inventory must be provided to the candidate before the file is forwarded by the preparer.
- m. Evaluation and recommendation letter from the department chair, the standards preparer, or designated advisory committee based on the contents of the tenure file and the evaluative described above (see 5.3).
- n. Evaluation and recommendation letter from the appropriate dean based on the contents of the tenure file and the evaluative standards described above (see 5.3). This must be accompanied by a statement regarding tenure flow in the school, indicating how the award or denial of tenure would affect teaching and research in the school.

This statement must also indicate the number of tenurable rank faculty in the school, the number currently tenured, and a projection for the next three years taking into account anticipated departures, faculty scheduled to be considered for tenure review, and changes in the number of tenurable positions.

- o. An evaluation and recommendation letter from the academic vice president (if the position is occupied) based on the contents of the tenure file and the evaluative standards described above (see 5.3).
- p. Evaluation and recommendation letter from the University Tenure Committee based on the contents of the tenure file and the evaluative standards described above (see 5.3).
- q. A letter from the president or designee explaining the tenure decision.

B. TENURE REVIEW PROCEDURES

1. By May 15 of each academic year, the president or designee, in consultation with the academic deans, shall:
 - a. prepare a list of all faculty scheduled for tenure review during the coming academic year, and
 - b. determine the person or group who shall serve as the preparer of each tenure file (see definition of "preparer" above).

Concurrently, the president or designee, in consultation with the academic deans and the Chair of the University Tenure Committee, shall prepare a calendar for each forthcoming tenure review that provides adequate time for all parties to examine the tenure file and prepare their recommendations. Copies of the list of tenure candidates, preparers, and the calendars for reviews will be provided to the academic deans, academic vice president, and University Tenure Committee. Likewise, a copy of the review calendar along with the name of the corresponding file preparer and candidate will be given to each candidate and file preparer. In exceptional circumstances (e.g., a presidential recommendation of tenure upon initial appointment), flexibility in scheduling is permissible.

2. Taking care to allow the candidate time to complete the tasks required, the preparer will send a memorandum to the candidate outlining the candidate's rights and responsibilities with respect to the preparation of the tenure file. Specifically, this memorandum should advise the candidate to review these "faculty policies." The memorandum must ask the candidate:
 - a. to submit a current resume or curriculum vitae for inclusion in the tenure file,
 - b. to submit copies of all scholarly works by the candidate along with a list of those works the candidate thinks are sufficient to provide external reviewers an adequate basis for assessing the candidate's scholarly accomplishments (in terms of the evaluative standards set forth in 5.3),
 - c. to submit a list of those items within the candidate's personnel file that the candidate wishes to make available for review by those Clarkson faculty who shall be asked to prepare written evaluations (see 5.5B.3.b and 5.4A). These items might include the annual evaluation reports, the student evaluation of instruction scores and comments, the classroom visit reports of colleagues, etc. The documents selected by the candidate should be chosen so as to provide internal colleagues adequate information with which to assess the candidate's teaching accomplishments (in terms of the evaluative standards set forth in 5.3). The candidate should also be advised that certain items in the personnel file (e.g., student evaluation of instruction scores, classroom visit reports, etc.), must be included in the tenure file as formally reviewed even if the candidate elects to deny access to these items to departmental colleagues at the time the latter prepare their internal evaluations.
 - d. to submit for inclusion in the file any other materials or statements that the candidate considers relevant to the tenure review. Such materials might include the candidate's own assessment of his/her teaching and research program, evidence documenting professional and University service, etc.
 - e. to provide a list of any persons from whom the candidate wishes to have testimonials solicited (such testimonials are distinct from the evaluations prepared by Clarkson faculty or external referees),

- f. to anticipate consulting with the preparer, if this has not already occurred, on the selection of the candidate's preferred external referees (see 3.a),
 - g. to recognize that the candidate is responsible for ensuring that the tenure file contains all those documents and materials, beyond those required by these policies, that the candidate considers relevant to the tenure review.
3. The preparer of the tenure file shall seek evaluations of the candidate by Clarkson faculty and external referees. The preparer must ensure: first, that those preparing evaluations have ample time to consider the materials offered for assessment, second, that any letter or memorandum soliciting an evaluation excludes comments which might bias the respondent's evaluation, and third, that copies of all memoranda and letters soliciting evaluations are retained for inclusion in the tenure file. Only evaluation statements which are signed by their authors will be considered. Within the limits allowed by law, confidentiality of an evaluation will be preserved unless the author indicates otherwise. Access to confidential information shall be limited to those persons having primary responsibility in formulating tenure recommendations, i.e., the department chair or designated preparer, the dean, members of duly-appointed advisory committees, the academic vice-president, members of the University Tenure Committee, the president, the Trustees, or other parties designated by the president.
- a. Procedures for External Referees
 - i. External referees who are qualified to provide objective assessments of the quality of the candidate's scholarship should be invited to submit written evaluations. The preparer must acquire at least six evaluations of the candidate's work from scholars outside Clarkson. These scholars are to be selected by the preparer in consultation with department chairs, other faculty, the dean, and the candidate. At least three of these referees should have been selected by the preparer. At least three external references should be solicited from individuals selected by the candidate.
 - ii. The preparer must provide each external referee with a copy of the candidate's complete resume or *curriculum vitae*

and copies of those scholarly works the candidate has indicated are sufficient to provide external reviewers an adequate basis for assessing the candidate's scholarly accomplishments (see 5.5B.2b).

- iii. External referees should be asked to provide independent assessments of the candidate's achievements in scholarship, research, or other creative work, as well as to comment on the significance of the candidate's achievements. Referees may be invited to comment on the candidate's teaching and advising skills or service contributions to the profession, if the referees possess relevant information on these matters.
- iv. In the letters soliciting external evaluations, the preparer should inform the external referees of those persons with access to their evaluation statements (e.g., dean, Tenure Committee, president, any advisory committees, and Trustees).

b. Procedures for Internal Evaluations

- i. The preparer will solicit evaluations regarding the candidate's suitability for tenure from all tenured faculty members in the department (or relevant organization), from non-tenured faculty members in the department (or relevant organization), and from faculty members outside the department who are thought to have special knowledge of the candidate. All tenured faculty members within the department must provide an evaluation of the candidate, or submit a written statement that they choose not to do so.
- ii. The preparer will make available to faculty preparing internal evaluations: the candidate's complete resume or *curriculum vitae*, copies of the candidate's scholarly works, any information documenting teaching and advising performance (e.g. student evaluation of teaching scores, classroom visit reports) offered for review by the candidate, documentation of service accomplishments, as well as any other materials the candidate wishes to have considered (including such other items from the personnel file as the annual evaluation

reports). If the candidate elects to offer the student evaluation of teaching scores for review by faculty colleagues, the preparer shall append the “appropriate comparison data” (referenced in item 5.5.A.11.e of the definition of the tenure file) to these scores.

- iii. Faculty preparing evaluations should review and analyze the materials provided for assessment: their assessments should gauge the candidate’s qualifications and performance with care, and should do so in light of the evaluation standards described in 5.3. Where possible, evaluators should buttress their comments with first hand observations.

c. Procedures for Testimonials

- i. The preparer should solicit testimonials regarding the candidate from those individuals the candidate has indicated are appropriate.
- ii. The preparer will accept testimonials from other members of the campus community or the community-at-large that address the candidate’s contributions.

- 4. The preparer shall: collect the “appropriate comparative data” (referenced in item 5.5.A.11.e), prepare the statement assessing the student evaluation of instruction scores (again, see 5.5.A.11.e), and prepare a statement on tenure flow (see item 5.5.A.11.g of the tenure file description).
- 5. The preparer must assemble, supplement, and inventory the tenure file in accord with the following:
 - a. The preparer shall assemble and inventory all the documents referenced in items 5.5.A.11.a-k of the tenure file description. This inventory must consist of a detailed list of all materials included in the file including the names of internal and external reviewers. A copy of this inventory must be added to the assembled materials. Another copy of the inventory must be given to the candidate; this copy of the inventory should be accompanied by a memorandum inviting the candidate to inspect the inventory closely so as to ensure that no materials or documents the candidate considers relevant to the review are absent from the file.

flow statement will be added to the file. If the position of vice-president for academic affairs is occupied, the dean shall convey the file to that person. The academic vice president shall write a letter that evaluates the candidate's tenure file and presents a recommendation regarding the candidate's suitability for tenure. This letter shall be added to the file, and the file conveyed to the University Tenure Committee. If the position of academic vice president is not occupied, the dean will convey the file directly to the University Tenure Committee.

9. The University Tenure Committee will evaluate the candidate's tenure file to ensure that it contains adequate documentation to reflect properly the candidate's performance as it pertains to the granting of tenure. When satisfied as to the file's adequacy, the Tenure Committee will write a letter that evaluates the candidate's tenure file and presents a recommendation regarding the candidate's suitability for tenure (in terms of the standard articulated in 5.3 above). This letter will be added to the file, and the file conveyed to the president.
10. The president will evaluate the candidate's tenure file. **The president will decide either to grant or to deny tenure.** The president's decision must be based upon (1) the contents of the tenure file and the evaluative standards contained in these "faculty policies" as well as (2) the needs of the University. If the president decides to grant tenure, the Board of Trustees shall be informed of this decision. Regardless of the decision reached, the president (or designee) must prepare a letter explaining the tenure decision, and this letter must be added to the tenure file. The tenure file will then be closed, and subsequent access to it will require presidential permission.
11. As soon as practicable after informing the Board of Trustees, the president shall communicate in writing the final tenure decision to the candidate, the department chair or preparer, the dean, the academic vice president, and the University Tenure Committee.
 - a. The communication to the candidate shall indicate that the candidate will be given, upon request, an interview with the president to discuss the tenure decision. The communication to each candidate denied tenure shall also indicate that the candidate may, upon request, receive a written explanation of the decision. The faculty member's request for this written explanation must be submitted within 30 days of notification of the tenure decision.

- b. The communication to the preparer, chair, dean, academic vice president, and University Tenure Committee shall indicate that all copies of confidential evaluative materials, specifically, copies of any internal or external reviews, must be destroyed or submitted to the president [see 5.4.A.2].
12. Upon receipt of a faculty member's request for a written explanation, the president shall prepare an account of the reasons for the decision to deny tenure. This written explanation shall be conveyed to the faculty member denied tenure within 45 days of the date on which the explanation was requested.
13. If the decision is to grant tenure, the grant of tenure becomes effective upon receipt of the president's letter communicating the decision.
14. If the decision is to deny tenure, the faculty member shall be offered a terminal contract for the following academic year.

C. APPEALS OF A TENURE DECISION

An individual denied tenure may seek a reassessment of the tenure decision on either of two grounds.

First, a reconsideration may be requested to answer claims that the decision derived from a misreading of the individual's tenure file.

Second, an individual denied tenure may appeal the tenure decision on the basis of either a claimed violation of the review procedures described in this "tenure policy" or of an alleged violation of civil rights. Those initiating such an appeal as well as those charged with assessing an appeal's merits should recognize that a tenure review constitutes a professional and administrative assessment--it is not a judicial process. While the university will make a good faith effort to ensure that stipulated review procedures are followed precisely, the goal of the tenure policy is to ensure that tenure candidates receive a thorough, professional review. Hence, procedural mistakes that have not influenced the final tenure decision in a significant way are not grounds for an appeal.

The procedures described below are the exclusive institutional remedies for faculty members who wish to challenge the decision to deny tenure. The Grievance Procedures set forth in **Clarkson Regulations** are not applicable to such challenges.

Several additional provisos apply. First, allegations of civil rights violations will be reviewed in accord with the procedures described in the present section of the **Operations Manual** (5.5.C). However, before such allegations will be reviewed, the faculty member must complete and submit to the Director of Affirmative Action the discrimination complaint form described in the “Discrimination Grievance Procedures” section of **Clarkson Regulations**. In tenure appeals involving allegations of civil rights violations, the provisions of this “tenure policy” supersede the Discrimination Grievance Procedures.” Second, no appeal will be considered from the decision not to extend an offer of tenure upon initial appointment. Third, initiating either of the processes described below does not alter the appellant’s contract status.

1. Requests for Reconsideration:

- a. A faculty member denied tenure may seek reconsideration of the decision by submitting a letter to the president. This letter must be submitted within 45 days of the date on the written explanation of the denial of tenure(5.5.B.12); the faculty member’s letter must explain clearly the grounds for the reconsideration request.
- b. A presidential reconsideration shall employ the same evaluative criteria as those governing any other tenure review. The president may review whatever materials and consult with whomever the president deems necessary and appropriate.
- c. On concluding the reconsideration, the president will notify the faculty member whether the decision is to confirm or alter the original tenure decision. The reconsideration process must be completed within 45 calendar days of receipt of the request for reconsideration.

2. Appeals:

- a. An appeal alleging procedural error is initiated by submitting a letter of appeal to the chair of the Faculty Senate. If the appellant alleges civil rights violations, the letter of appeal must be accompanied by a copy of the completed discrimination complaint form described in the preamble to

the present section (5.5.C). The chair of the Faculty Senate shall contact the chair of the Academic Planning Committee of the Board of Trustees and the chair of the University Tenure Committee for the purpose of establishing an Internal Review Committee [hereafter, the IRC]. The IRC shall consist of three individuals. The chair of the IRC shall be selected by the chair of the Trustees' Academic Planning Committee after consulting with the chair of the Faculty Senate. The two other members of the IRC shall be selected from a list of all former (and not current) members of the University Tenure Committee presently serving on the Clarkson faculty. This list is to be maintained by the Secretary of the Faculty Senate. One former Tenure Committee member will be selected from this list by the appellant, the other by the University Tenure Committee. IRC deliberations and documents shall remain confidential: within the limits allowed by law, access will be confined to those specifically involved in the appeals process.

- b. The appellant's letter of appeal must be submitted within 45 calendar days of receipt of the written explanation of the denial of tenure. The appeal letter must itemize the procedural errors alleged and must present the evidence in support of each allegation.
- c. Upon appointment the Chair of the IRC shall promptly see to the selection of the other members of the IRC. Within 45 calendar days of receipt of the appeal by its Chair, the IRC shall:
 - i. provide a copy of relevant components of the appellant's letter of appeal to each person to whom procedural errors have been attributed and offer these individuals an opportunity to prepare a written response to these allegations.
 - ii. conduct such meetings and inquiries as are deemed necessary, to consider the appellant's letter of appeal and any responses thereto,

- iii. prepare a Notice of Appeal that summarizes the IRC's findings on each allegation. The summary shall:
 - a. review the accuracy and adequacy of the information known about each alleged error,
 - b. comment on the potential significance to the tenure decision of each allegation the IRC concludes may have a basis in fact, and
 - c. incorporate dissenting opinions, if any.

If the members of the IRC unanimously agree that the appellant's allegations are either without foundation or are too insignificant to have affected the final tenure decision, the Notice of Appeal should so state.

- iv. submit to the appellant, the president, and the University Tenure Committee copies of:
 - a. the Notice of Appeal,
 - b. the letter of appeal and documentation offered by the appellant,
 - c. any responses prepared to the appeal, and
 - d. all other relevant correspondence or documentation possessed by the IRC.
- d. Upon receipt of the Notice of Appeal and related items, the president and the University Tenure Committee, in its capacity as that faculty body specifically charged with ensuring that, tenure reviews proceed in accord with established procedures, shall review the materials presented by the IRC. Within 21 days, and after consulting with the University Tenure Committee, the president shall prepare a memorandum of determination indicating whether a significant error has occurred. If the president finds such an error, the president shall take appropriate action and so inform the interested parties. If the president finds no such error, the memorandum of determination shall describe this finding.

- e. If both the IRC, writing unanimously, and the president find no significant procedural error in the conduct of the tenure review, the appeals process is terminated. The appellant is immediately informed that the appeal has been denied. In such a case, items f, g, and h below do not apply.
- f. If the president and the IRC do not concur, or if the IRC has not acted unanimously, then the president's memorandum shall be attached to the Notice of Appeal. The Notice of Appeal and presidential attachment, as well as all related materials presented by the IR, shall be forwarded to the Board
- g. Concurrently, the president shall send a copy of the memorandum of determination to the appellant. In the event that the president finds no significant error, the appellant may prepare a response to the president's memorandum and forward this response to the Board of Trustees. If the appellant submits such a response, it shall be incorporated into the documents subject to review by the Board of Trustees.
- h. On receipt of:
 - i. the Notice of Appeal and other materials compiled by the IRC.
 - ii. the president's memorandum denying the appeal, and
 - iii. the appellant's response, if any, to the president's memorandum,

the Board of Trustees will initiate its review. The Board will consider appeals only so far as they pertain to clear and significant procedural errors or alleged violations of civil rights. Appeals will be considered by a three-person subcommittee consisting of members of the Board appointed by the chair of the Board. The decision to deny or to order a new tenure review will be rendered by this subcommittee within 120 days of receipt of the Notice of Appeal. All appropriate parties will be promptly informed of this Board sub-committee's decision.

D. SPECIAL REVIEWS OF TENURED FACULTY

If a tenured faculty member feels that the annual evaluation memoranda prepared by the chair (or other appropriate academic administrator) consistently fail to reflect accurately the faculty member's professional record, the faculty member may request that the president (or designee) convene a special review committee to assess the faculty member's performance. Likewise, if a chair (or other academic administrator charged with conducting the annual conferences) feels that a tenured faculty member is consistently failing to fulfill the expectations associated with the faculty member's position, the chair may request that the president (or designee) convene a special review committee to assess the faculty member's performance. Should the president decide to proceed with a special review, both the faculty member and the chair involved will be promptly informed of this decision. Such special review committees shall consist of three tenured faculty members appointed by the president (or designee). The chair of this committee will be from the department or academic area of the faculty member under review; at least one of the other members of this committee will be from a different department or academic area. This review committee shall have access to or may solicit all the sorts of documents and materials characteristically found in a tenure or promotion file. It may request interviews with the faculty member under review, the chair (or other appropriate academic administrator), as well as such other persons as the committee anticipates can provide relevant information for its deliberations. The committee shall, so far as circumstances permit, conduct its review in confidence. The committee shall pursue its deliberations in accord with the evaluative standards set forth in 5.3. Specifically, the committee shall examine the faculty member's performance with respect to teaching, scholarship, and service. At the close of its review, the committee shall prepare a report discussing the quality of the faculty member's professional development and, if appropriate, suggest areas for improvement. Likewise, the committee report may suggest ways in which the chair (or other appropriate academic administrator) might improve the annual evaluation process such that the annual evaluation memoranda accurately reflect the faculty member's professional development. Prior to submitting its report to the president (with a copy for inclusion in the faculty member's personnel file), the committee shall send a copy of its report to the faculty member under review for initialing. The faculty member's initials on the report merely indicate that the faculty member has received the report: the initials do not indicate agreement with the report's contents. If the faculty member refuses to initial the report, the chair of the review committee shall prepare a memo noting this fact, append it to a true copy of the report, and submit these materials and any other documents the committee may have acquired in the course of its review to the president. If the committee's report indicates areas for improvement by the chair (or

other appropriate academic administrator), a copy of the report will be given to that individual. Subsequent access to any materials submitted by the special review committee to the president requires approval. Since such special reviews involve a substantial commitment of institutional and professional resources, they should not be requested routinely -- they are not meant to substitute for the annual reviews described in 5.4.C. Individual faculty members may not request such reviews more frequently than once every four years; a chair (or other appropriate academic administrators) may not request a special review of a specific, individual faculty member more frequently than once every seven years.

E. TERMINATION OF TENURED FACULTY MEMBERS

1. A recommendation to terminate a faculty member holding tenure for reasons other than financial exigency or discontinuance of a department or degree-granting program (see 2, below) may be initiated by the appropriate chair, dean, or the academic vice-president. This recommendation will be reviewed by the appropriate chair, dean and the academic vice president (excepting the initiator). Each will prepare a written statement either concurring with or dissenting from the initial recommendation. Each of these letters, including the initial recommendation, will be submitted to the chair of the University Tenure Committee. The chair of the University Tenure Committee will provide a copy of each of these letters to the faculty member recommended for termination of tenure.

Adequate cause for the termination of tenure is related directly and substantially to the performance of a faculty member as a teacher and scholar and is defined as gross incompetence, dereliction of duty, mental or physical incapacity, or gross personal or professional misconduct. The faculty member recommended for termination shall be given a written specification of the reasons for recommending termination. In particular, the faculty member must receive copies of the original recommendation and all other letters either concurring with or dissenting from this recommendation. The faculty member must be afforded an opportunity to prepare a written response to these allegations. This response, if offered, should be submitted to the chair of the University Tenure Committee.

After receiving the letters from the appropriate academic administrators, and the response, if offered, from the faculty member involved, the chair of the Tenure Committee shall convene a termination review panel. This seven-member panel shall be composed of three members from the Tenure

Committee, the chair of the Tenure Committee, and three members from the Promotions Committee (see 5.6.C.2.f). This panel shall review the original recommendation for termination as well as all statements responding to this recommendation. The chair of the Tenure Committee shall chair this termination review panel; the selection of the three members drawn from the Tenure and the three members from the Promotions Committee shall be decided by each committee acting individually.

The faculty member recommended for termination and the academic administrator recommending termination shall have the opportunity to be heard before the review panel, and to call and question appropriate witnesses. The faculty member shall also be permitted to choose and have present another Clarkson faculty member to act as advisor. A full stenographic record, videotape, or audiotape of the hearing shall be available to the parties concerned.

The review panel shall render a judgement on the recommendation for termination based upon the evidence presented and the panel's assessment of the faculty member's willingness and ability to fulfill the "duties of faculty member" as set forth in 5.2. At the close of its deliberations, the review panel shall prepare a written explanation of its judgement and send copies of it to the president and the faculty member in question. It shall also forward to the president all letters, records, transcripts, recordings or tapes developed over course of the review proceedings.

The president shall assess all the materials presented by the review panel as well as the review panel's written explanation of its own recommendation. While conducting this assessment, the president may confer with any parties the president deems appropriate. The president shall decide whether or not to terminate, and shall promptly inform the faculty member involved of the decision. Whatever the president's decision, all documents and materials submitted to or considered by the president in this matter shall be preserved in the confidential files of the president's office. Subsequent access to them shall require permission from the president.

The Board of Trustees shall be informed of any presidential decision to terminate a tenured faculty member. Tenured faculty members who are dismissed for reasons other than neglect of duty or misconduct shall receive their salaries for not less than one year from the date of notification of dismissal whether or not they are continued in their duties at the institution.

2. Termination of tenured faculty members due to either financial exigency or to the discontinuance of a department or degree- granting program shall be demonstrably *bona fide*. This shall initially be determined by the president, with advice from the University Tenure Committee, upon evidence which shall be available to each faculty member affected by such initial determination, and shall not take effect until confirmed by the Board of Trustees. Before seeking confirmation (of termination) from the Board of Trustees, the president shall make a good faith effort to find another appropriate position at the University for the faculty member.

Tenured faculty members who are terminated due to either financial exigency or to the discontinuance of a department or degree-granting program shall receive their salaries for not less than one year from the date the Board of Trustees confirmed their termination whether or not they are continued in their duties at the institution.

F. REVISION OF THE TENURE POLICY

The Tenure Policy shall remain subject to the authority of the Trustees. The policy may be changed, modified, and amended by them. It is the intent of the Trustees to seek the advice and recommendations of the faculty before modifying the policy.

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Revision Regarding Composition of Tenure Committee Approved March 2004

Revision of Section 5.5.A.6.b.iii Approved March 2008

5.6 EVALUATION PROCEDURES FOR PROMOTION

A. PROMOTION TO TENURABLE RANK

Individuals who have been appointed as lecturer in anticipation of promotion to the tenurable rank of assistant professor upon completion of the appropriate terminal degree shall be promoted on the basis of the terms stipulated in the individual's appointment letter: this promotion shall not entail an independent promotion review.

B. PROMOTION CONCURRENT WITH TENURE

When candidacy for promotion is concurrent with candidacy for tenure, the two reviews shall proceed as one. Specifically, the review detailed in the "tenure policy" (see 5.5) shall also serve as the promotion review: the tenure file shall also be the promotion file. No independent promotion review process will be required.

C. PROMOTION STANDARDS AND PROCEDURES

Promotions that are neither "to tenurable rank" (see A.) nor "concurrent with tenure" (see B.) shall proceed in accord with the following guidelines.

1. Standards

The evaluative standards employed in reviewing a faculty member for promotion in faculty rank are those set forth in 5.3, of these "faculty policies." Evaluative recommendations and the ultimate promotion decision should be based on these evaluative standards and the contents of the promotion file (described below).

2. Procedures

a. Initiation: A promotion review may be initiated by the appropriate department chair or dean. A review may be initiated by a faculty committee established in the department (or other academic unit) specifically for the purpose of initiating such reviews. The candidate must consent to the promotion review.

b. Documentation: A promotion file shall be prepared that is substantially similar in structure and content to the tenure file described in 5.5. While certain items included in the tenure file

(e.g., statements regarding tenure flow and the like) need not be incorporated, the promotion file must contain adequate documentation to reflect the candidate's suitability for promotion in terms of the standards set forth in 5.3.

- c. Preparation of the Promotion File:** The preparer of the promotion file shall be that person or group responsible for compiling the file and adding an initial evaluation to it. The selection of the file preparer shall follow the pattern set forth in the description of the preparer of the file for tenure reviews (see 5.5.A.9). Members of the University Promotion Committee may not serve as "preparer of the file".
- d. Schedule:** The schedule for a promotion review can be more flexible than for a tenure review. However, three provisos do apply: first, the candidate must be given adequate time to compile those documents required for initial review by the preparer (see, by way of analogy, 5.5.B.2), second, all reviewers, be they external or internal, but especially the University Promotions Committee (described below), must be given adequate time to conduct their reviews, and third, the review process itself should move expeditiously.
- e. Review Process:** Once the promotion file has been inventoried and the candidate has been given a copy of the file inventory, the file is ready for review. The file shall move from the preparer to the appropriate dean, to the academic vice president (if the position is occupied), and to the University Promotions Committee (described below). Each shall add a letter to the file that provides a recommendation as to the candidate's suitability for promotion.
- f. University Promotions Committee:** The University Promotions Committee consists of four tenured faculty at the rank of Professor elected for three-year, staggered terms by the tenured faculty. Faculty members in the positions of chair, dean or comparable administrative position are not eligible for membership on the Promotions Committee. Nomination of candidates for the Promotions Committee will come from the Faculty Senate. Nominations for candidacy can also be presented by written petition endorsed by ten tenured faculty members. Positions on the Promotions Committee will be allocated as follows: one committee member from each school of the

University and one at large, or as otherwise may be recommended by the Faculty Senate, and decided by a vote of the tenurable rank faculty.

The Promotions Committee charge is:

- i. To act in accord with these “faculty policies.”
 - a. To confirm that the promotion file of each candidate contains adequate documentation to reflect the candidate’s performance as it pertains to promotion, or to indicate to the file preparer how the file is deficient. The committee shall hold the file until such time as either the preparer or the committee has corrected such deficiencies, and those who have previously reviewed the file have had an opportunity to examine any new materials or documents.
 - b. To add to each adequately-documented promotion file a committee evaluation and recommendation regarding the candidate’s suitability for promotion.
 - ii. To advise the Faculty Senate on matters pertaining to the promotion policies and their implementation.
- g. The Promotion Decision:** After the University Promotion Committee has completed its review, the promotion file will be conveyed to the president. The president shall review the file and shall decide whether or not to promote.

The president shall promptly inform the candidate, the appropriate preparer and dean, the academic vice president, and the University Promotions Committee of the decision. If the decision is negative, the president shall inform the candidate that the candidate may, upon request, receive a written explanation of the decision. When the review is completed, the promotion file shall be closed. Subsequent access to the file will require presidential permission. Once the presidential decision has been made, any copies of confidential evaluative materials, specifically, copies of internal depositions and external reviews, that have been retained by others

involved in the promotion review must be either destroyed or forwarded to the president [see 5.4.A.2].

- h. Appeals:** There is no appeal from a presidential decision to deny promotion.
- i. Restrictions:** A faculty member promoted from one tenurable rank to another prior to the completion of a tenure review does not, by virtue of the promotion, receive tenure.

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5.7 APPOINTMENT, REAPPOINTMENT, AND PROMOTION OF CLINICAL FACULTY

A. STANDARDS BY ACADEMIC RANK

1. A Clinical Instructor shall have
 - a. Entry level degree in the teaching content area
 - b. Current clinical practice in the teaching content area
 - c. Demonstrated initiative towards completion of the next higher degree in the teaching content area (within five years)
 - d. Interest in either professional or clinical specialization activities
 - e. Documented teaching effectiveness
 - f. Involvement of university and/or professional service
2. A Clinical Assistant Professor shall have
 - a. Appropriate terminal degree in the teaching content area
 - b. Current clinical practice in teaching content area
 - c. Demonstrated achievement in professional or clinical specialization activities
 - d. Documented teaching effectiveness
 - e. Involvement in university and/or professional service
3. A Clinical Associate Professor shall have
 - a. Appropriate terminal degree in the teaching content area
 - b. Current clinical practice in teaching content area
 - c. Either holding of a clinical specialty certification or officer status in professional activities at the district, state or national level
 - d. Documented teaching effectiveness
 - e. Involvement in university and/or professional service
4. A Clinical Professor shall have
 - a. Appropriate terminal degree in the teaching content area
 - b. Current clinical practice in teaching content area
 - c. Either leadership activity within the clinical speciality or significant involvement in professional organizations at the national level
 - d. Documented teaching effectiveness
 - e. Involvement in university and/or professional service

B. TERM OF APPOINTMENT

1. Full-Time Clinical Appointments
 - a. Appointments at the rank of Clinical Instructor or Clinical Assistant Professor are made for periods of one year or less and may be renewed.
 - b. Faculty initially appointed at the rank of Clinical Associate Professor and faculty promoted to the rank of Clinical Associate Professor from Clinical Assistant Professor are appointed for a two year term which may be renewed.
 - c. Faculty initially appointed to the rank of Clinical Professor may be appointed for a term of four years or less and may be renewed. Faculty promoted from Clinical Associate Professor to Clinical Professor and faculty reappointed to the rank of Clinical Professor are appointed for four-year terms which may be renewed.
2. Part-Time Clinical Appointment
 - a. All part-time clinical appointments are for periods of up to two years and may be renewed.

C. PROCEDURES FOR EVALUATION AND REAPPOINTMENT OF CLINICAL FACULTY

1. The procedures for the continuing evaluation (that is, the annual evaluation) of Clinical Faculty shall be substantially similar to those specified for tenure-track faculty in Section 5.4 of the *Operations Manual*.
2. The decision whether to reappoint a Clinical Faculty member to another term shall rest on a broader review than the on-going annual evaluation. As a minimum, faculty peers in the clinical area shall be polled *re* the suitability of reappointment, and the results of this poll shall be included in the documentation that accompanies the recommendation about reappointment as it is forwarded to the appropriate academic administrators. When there are department and/or school-level committees that address tenure and/or promotion cases, these committees shall also make a recommendation about proposed reappointments.

D. PROCEDURES FOR PROMOTING CLINICAL FACULTY

1. The procedures for promoting full-time Clinical Faculty shall be substantially similar to those specified for tenure-track faculty in Section 5.6.C of the *Operations Manual*, except that the standards shall be those listed above in Section 5.7.A.
2. In the case of the promotion of part-time clinical faculty, the promotion review shall be made in conjunction with the reappointment review as specified above in Section 5.7.C.2. Faculty who move from part-time status to full-time status will not automatically carry forward their part-time rank; the appropriate full-time rank will be part of the appointment decision.

Approved by Faculty Senate, April 2001
Approved by Administrative Council, April 2001

5.8 RESEARCH FACULTY AND RESEARCH ASSOCIATES

5.8.1 Definitions

- A. The title “Research Associate” is restricted to post-doctoral appointments. These are temporary appointments typically for one or two years, and they are understood to be part of the appointees’ educational preparation for professional work in their field.
- B. The titles “Research Assistant Professor,” “Research Associate Professor,” and “Research Professor” refer to appointees whose primary effort is in research rather than instruction. This does not preclude research faculty from participating in instructional activities to the extent that is consistent with their research responsibilities. When appropriate, they may contribute to seminars, classes, and symposia, and in many cases, research faculty can assist in the research training of Ph.D. candidates or post-doctoral appointees. Research Faculty shall possess the terminal degree that is the accepted norm for their field.
- C. Research appointees whose primary work is the conduct of research shall have one of the titles in Sections 5.8.1.A and 5.8.1.B. (Other titles such as “Research Fellow,” “Research Scientist,” and “Research Scholar” may not be used.) Research appointees whose work primarily supports the research of others shall have an appointment in one of the staff employee groups in Section 3.1.1.A at a level and with a title appropriate to the appointees’ job description and qualifications.

5.8.2 Duties

The specific duties of Research Associates and Research Faculty are stated in their contracts.

Research Faculty may serve as Co-PI and sole PI on research proposals.

5.8.3 Appointment and Promotion

Initial appointment of Research Faculty, and change from one Research Faculty rank to another, shall be consistent with the research-related criteria for faculty that are listed in Section 5.3.B, “Standards by Academic Rank.”

Approved by Faculty Senate November 2006
Approved by Administrative Council January 2007

5.9 FACULTY RIGHTS AND RESPONSIBILITIES

5.9.1 Oath to Support the Constitutions of the United States and of New York State

Section three thousand two of the New York State education law, as amended, requires the following:

It shall be unlawful for any citizen of the United States to serve as a teacher, instructor or professor in any school or institution in the public school system of the State or in any school, college, university or other educational institution in this state, whose real property, in whole or in part, is exempt from taxation under section four of the tax law unless and until he or she shall have taken and subscribed the following oath or affirmation: "I do solemnly swear (or affirm) that I will support the Constitution of the United States of America and the Constitution of the State of New York, and that I will faithfully discharge, according to the best of my ability, the duties of the position of (title of position and name or designation of school, college, university or institution to be here inserted), to which I am now assigned."

The oath required by this section shall be administered by the president. In lieu of the oath administered by an officer, person or member, an employee may comply with the requirements of this section by subscribing and filing the following statement: "I do hereby pledge and declare that I will support the Constitution of the United States and the Constitution of the State of New York, and that I will faithfully discharge the duties of the position of according to the best of my ability."

Such an oath or statement shall be filed in the faculty member's personnel file.

May 1969
Editorial Revision July 1989

5.9.2 Periods of Duty - Faculty

Members of the faculty are employed for a nine-month academic year which is defined as the period which starts on the Saturday scheduled for the fall registration of continuing students and finishes nine months later, including the Sunday scheduled for commencement.

The three-month period following the academic year can be used for advanced study, professional work, research, recreation and rest. Faculty are urged to choose a personal program that involves professional activity for all free time save a two-to-four week vacation period. Use of one's summer will be a factor in determining faculty advancement. Freedom during other vacation periods is dependent on University needs at the time.

Revised January 1979
July 1987, September 1991

5.9.3 Academic Freedom and Responsibility

Academic freedom is essential to the free search for truth and its free exposition, and applies to both teaching and research. Freedom in research is fundamental to the advancement of truth. Academic freedom in its teaching aspect is fundamental for the protection of the rights of the teacher in teaching and of the student to freedom in learning. It carries with it duties correlative with rights.

Academic Freedom

1. Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties, and in accord with University policies.
2. Teachers are entitled to freedom in the classroom in discussing their subject, but should be careful not to introduce controversial matter which has no relation to their subject.

Freedom, however, involves responsibilities. The University faculty are members of a larger community, members of learned professions, and officers of the educational institution. When they speak or write, they shall be free from institutional censorship or discipline, but their special position in the community imposes special obligations upon them. As learned people and educational officers, they should remember that the public may judge their profession and institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution.

March 1967

Faculty Senate approved Revision September 1974

Faculty Senate approved Revision 1989

5.9.4 Emeritus Professor Policy and Procedure

The rank of Emeritus Professor is voted by the Trustees on recommendation of the president at the time of retirement of a member of the regular Clarkson faculty. The recommendation normally comes to the president from the cognizant dean and department chair. The president will automatically consider the case of a faculty member who has served Clarkson for more than five years.

Emeritus professor status should denote and encourage continuing ties to the University and entitles the holder to the following privileges:

1. Participation as a faculty member during commencement and other such occasions.
2. Library privileges equal to those of the regular faculty.
3. Faculty privileges in attendance at campus activities and the use of recreational facilities.
4. Maintenance on appropriate University faculty listings.
5. Committee appointments by invitation.

At its discretion and after review by the appropriate chair and dean, the University may grant to Emeritus applicants on a yearly renewable basis the following privileges:

1. Computing facilities, including, local network accounts, e-mail.
2. Office space.
3. Phone service.
4. A departmental mailbox and regular mail service.
5. Access to laboratory space.

Approved by the Faculty Senate October 1975
Revised 1995

5.9.5 Academic Advising at Clarkson University

At Clarkson advising is an extension of the University's teaching mission in the broadest sense. It should be a process that fosters a student's academic, professional and personal development. The University's goal is to help each student become an independent, self-confident learner -- a person who knows how to find and to use information in making choices, whether in selecting courses, choosing a career, or developing values and goals. Ideally, then, the advising process should be a collaboration between faculty member and student. Sometimes, of course, the faculty member must take the initiative, seeking to identify and help solve a student's problems, especially those relating to academic matters. As the faculty-student relationship matures, the student should become an active, informed participant in the process of setting personal goals and making curricular choices. Because education aims to develop individuals, helping a student achieve this independence is a central task of advising at Clarkson.

In the advising process, both faculty member and student must play a number of roles to foster academic, professional, social and personal development. In academic matters, faculty member and advisee must work together to ensure that the student makes satisfactory progress toward a degree. In addition to monitoring each advisee's progress toward meeting graduation requirements, the advisor should provide feedback on academic performance and be ready to help develop a strategy or make suggestions to meet particular needs. The advisor should serve as a university resource able to provide information or refer a student to the right place for addressing academic, professional, social or personal problems. Both faculty member and student should be alert to opportunities for integrating academic or career goals with co-curricular activities. Both should seek ways to integrate academic concerns with the broad themes of personal and social development central to the University's mission.

September 1991

5.10 FACULTY DEVELOPMENT

5.10.1 Faculty Sabbatical Fellowship Program

The Clarkson University faculty sabbatical fellowship program began July 1, 1983.

I. Purpose

The purpose of a faculty fellowship shall be to provide the faculty member with time, free from regular duties, for activities which contribute toward professional development. Eligible faculty members should be encouraged to take advantage of the faculty fellowship program for this purpose. Deans and chair should make maximum use of their offices to make such plans feasible. The spirit of this program is that faculty members should not seek financial gain through the faculty fellowship program. The faculty fellowship program is not intended to replace other leave opportunities.

II. Fellowship Types

There are three fellowship types available under this program:

- Type 1) Two successive semesters with a stipend of one-half the normal salary of the faculty member during the fellowship period.
- Type 2) One semester with a stipend equal to the normal salary of the faculty member during the fellowship period.
- Type 3) One semester with a stipend equal to one-half the normal salary of the faculty member during the fellowship period.

The University shall maintain all fringe benefits during the fellowship period for all three types.

III. Eligibility

Those members of the faculty shall be considered eligible who have served at Clarkson for at least six years and at the time of application have been granted tenure. The six years need not be consecutive, but time spent on leave of absence shall not count toward the fellowship program eligibility. Thereafter, eligibility for either a type 1 or a type 2 fellowship requires six years of service, and eligibility for a type 3 fellowship requires three years of service since the completion of any previous fellowship.

IV. **Completion of Fellowship**

Any member of the faculty accepting a fellowship is required to return to the University for at least one academic year after the fellowship period. Faculty members who fail to return must reimburse the University for their salary payments and the cost of fringe benefits for the term of the fellowships. Upon completion of their fellowships, faculty members shall be required to submit to their immediate superiors short written summary reports covering relevant activities during the periods and giving an account of compensation received from outside sources during that time. The purpose of such a report is to assist toward future revisions of the faculty fellowship program and will be kept available for this purpose.

V. **Application**

Application will be made in writing and transmitted for action through the department chair, the appropriate dean, the vice-president for academic affairs, and to the president. Applicants are required to supply a vita and a plan outlining developmental objectives for the proposed fellowship, and the process by which the applicant intends to meet the stated objectives.

Applications must be filed in ample time for necessary review in the department, school, vice-president's and president's offices. The application must include a statement accepting the terms in Section IV. If a fellowship is granted, any change in plans must be approved as was the original application. Refusals of fellowships to faculty members at any time do not exclude them from consideration at a later time.

Approved by the Faculty Senate, Administrative Council, President
and Board of Trustees: April 1982, June 1982
Editorial Revision June 1987
Approved by the Faculty Senate: November 4, 1991
Approved by the Administrative Council: November 25, 1991
Approved by the Board of Trustees: May 16, 1992
Approved by Faculty Senate, February 3, 1997
Approved by Administrative Council, February 24, 1997
Approved by the President, May 10, 1997
Approved by the Board of Trustees, May 1997

5.10.2 Leave of Absence

Leave of absence without pay may be granted upon recommendation of the departmental chair and approval by the dean of the school and the president when leave is needed for advanced study, professional experience, or travel combined with directed and planned study or to meet statutory requirements.

Recommendations for leave should normally be for a maximum of one year and inherent in any such recommendations is the assumption that the individuals intend to return to Clarkson for at least one year, and that there are vacancies being held open for them.

Revised July 1970
Editorial Revision August 1971
August 1973
June 1987

5.10.3 Auditing Courses and Academic Study for Faculty Members

Members of the faculty are entitled to enroll without charge for credit in, or audit, courses taught at Clarkson University. A written request to take the course(s) in question should be submitted to the applicant's dean for approval.

Faculty members may take one 3-hour or one 4-hour course per semester during the academic year and one 3-hour or 4-hour course during summer school each year. The limit of one 3-hour or one 4-hour course during summer school applies to the entire summer school period.

The above policy also includes courses offered by the other member institutions of the Associated Colleges of the St. Lawrence Valley -- for credit and without charge -- one 3-hour or one 4-hour course per semester, and one 3-hour or 4-hour course during summer school subject to limitations established collectively or individually by the member institutions.

August 1973
Editorial Revision August 1974, 1976, 1977, 1987
Revised January 1992